

Management

Army Policies and Responsibilities for the Arroyo Center

Headquarters
Department of the Army
Washington, DC
14 October 1994

UNCLASSIFIED

SUMMARY of CHANGE

AR 5-21

Army Policies and Responsibilities for the Arroyo Center

This regulation--

- o Identifies eight new members of the Arroyo Center Policy Committee (ACPC) (para 4).
- o Establishes the Director, Program Analysis and Evaluation, as the executive agent for the RAND Arroyo Center (para 4).
- o Establishes a two-star level Pre-ACPC review of Arroyo Center programs (para 4).
- o Requires written notification to the executive agent within 30 days after initiation of any provisional study effort (para 4).
- o Implements the Office of the Secretary of Defense Federally Funded Research and Development Center Management Plan (para 5).
- o Establishes a plan to avoid duplication of study effort (para 6).
- o Defines Member of Technical Staff (MTS) (Glossary).

Effective 14 November 1994

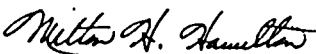
Management

Army Policies and Responsibilities for the Arroyo Center

By Order of the Secretary of the Army:

GORDON R. SULLIVAN
General, United States Army
Chief of Staff

Official:


MILTON H. HAMILTON
Administrative Assistant to the
Secretary of the Army

History. This printing publishes a revision of this publication. Because the publication has been extensively revised, the changed portions have not been highlighted.

Summary. This regulation covers the policies and responsibilities for the management and administration of the RAND Arroyo Center, a federally funded research and development center for the Department of the Army. It describes the Arroyo Center and its mission, establishes the membership of the Arroyo Center Policy Committee, designates

the Army executive agent for the Arroyo Center, and explains the relationship between the sponsor and the Arroyo Center in developing and executing the Arroyo Center annual program.

Applicability. This regulation applies to all elements of the Active Army, Army National Guard, and U.S. Army Reserve.

Proponent and exception authority. The proponent of this regulation is the Director of the Army Staff. The Director of the Army Staff has authority to approve exceptions to this regulation that are consistent with controlling law and regulation. Proponents may delegate this approval, in writing, to a division chief under their supervision within the proponent agency who holds the grade of colonel or the civilian equivalent.

Army management control process. Not used.

Supplementation. Supplementation of this regulation and establishment of forms other than DA forms are prohibited without prior approval from the Manpower and Force Program, Analysis Division, Chief of Staff, 200

Army Pentagon, Washington, DC 20310-0200.

Interim changes. Interim changes to this regulation are not official unless they are authenticated by the Administrative Assistant to the Secretary of the Army. Users will destroy interim changes on their expiration dates unless sooner superseded or rescinded.

Suggested Improvements. Users are invited to send comments and suggested improvements on DA Form 2028 (Recommended Changes to Publications and Blank Forms) directly to the Manpower and Force Program, Analysis Division, Chief of Staff, 200 Army Pentagon, Washington, DC 20310-0200.

Distribution. Distribution of this publication has been made in accordance with DA Form 12-09-E requirements for 5-series publications. The number of copies distributed to a given subscriber is the number of copies requested in blocks 7 and 8 of the subscriber's DA Form 12-09-E. AR 5-21 distribution is C for Active Army; D for ARNG; and D for USAR.

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*This regulation supersedes AR 5-21, dated 22 August 1986.

RESERVED

1. Purpose

This regulation defines Army policies and responsibilities for the Arroyo Center. It describes the Arroyo Center and the development of its annual program and establishes the frame work for managing and directing Arroyo Center efforts.

2. References

Required and related publications and prescribed and referenced forms are listed in appendix A.

3. Explanation of abbreviations and terms

Abbreviations and special terms used in this regulation are explained in the glossary.

4. Responsibilities

a. The Arroyo Center Policy Committee (ACPC) establishes overall objectives for the Arroyo Center. It consists of the Vice Chief of Staff, Army (co-chairman); Assistant Secretary of the Army (Research, Development, and Acquisition) (co-chairman); Assistant Secretary of the Army (Manpower and Reserve Affairs); Commanding General, U.S. Army Forces Command; Commanding General, U. S. Army Training and Doctrine Command; Commanding General, U. S. Army Materiel Command; Commanding General, U. S. Army Special Operations Command; Deputy Chief of Staff for Operations and Plans; Deputy Chief of Staff for Personnel; Deputy Chief of Staff for Logistics; Deputy Chief of Staff for Intelligence; and Deputy Under Secretary of the Army (Operations Research). The ACPC—

(1) Provides broad supervisory and policy guidance to the Arroyo Center management.

(2) Meets at least semi-annually with the Arroyo Center management to review and evaluate the current and planned annual programs.

(3) Provides guidance to the Arroyo Center management on Army needs, interests, and priorities.

(4) Provides the Arroyo Center with access to Army and other agency information needed to conduct projects.

(5) Reviews and approves the annual Arroyo Center program taking into account the overall goals of the Army.

(6) Reviews and approves research projects.

(7) Provides annual program evaluation guidance to the ACPC executive agent.

(8) Reviews nominations and selects Army officers to participate in the Arroyo Center Fellows Program. (See para 8.)

b. The ACPC executive agent is the Director, Program Analysis and Evaluation, Office of the Chief of Staff, U.S. Army. He or she—

(1) Serves as the Army point of contact for the Arroyo Center.

(2) Oversees and monitors the performance of the Arroyo Center and recommends changes to Arroyo Center policy guidelines to the ACPC.

(3) Evaluates and presents to the ACPC information provided by sponsors and the Arroyo Center management on individual projects and the Arroyo Center program as a whole.

(4) In coordination with the Director, Arroyo Center, establishes and applies policies for initiating annual program development. Approves all modifications to the annual program; major changes will be coordinated with the ACPC.

(5) With guidance from the ACPC, directs an evaluation of the program.

(6) Develops, coordinates, and justifies the Army requirements for the Arroyo Center during the Programming, Planning, Budgeting, and Execution System process.

(7) Develops statements of work and fund obligation instruments for the continuous operation of the Arroyo Center.

(8) Acts as the liaison between the Army and the contracting officer for the contract with the RAND Corporation.

(9) Serves as a member of all study advisory groups formed for Arroyo Center efforts.

(10) Implements program management procedures to ensure full

coordination of project proposals and the annual Arroyo Center program.

(11) Ensures that appropriate Army officials review Arroyo Center reports in a timely manner before public release to identify classified, proprietary, or sensitive information not authorized for release. The review is not intended to censor Arroyo Center analysis or to preclude release of information critical of the Army.

(12) Provides information on the Arroyo Center to Army, Department of Defense (DOD), and other Government agencies. Reviews requests for and releases information on the Arroyo Center to non-Government individuals or organizations.

(13) Informs potential Army users periodically of the capabilities of the Arroyo Center.

(14) Provides staff support to agencies outside HQDA when they are requesting or sponsoring Arroyo Center projects.

(15) Designs, implements, and maintains internal controls for the Army for the oversight of the Arroyo Center.

(16) Approves additional add-on work outside of HQDA core funding.

(17) Provides all administrative support for the ACPC.

(18) Conducts a two-star level review of Arroyo Center programs to discuss the research agenda and resolve issues before presenting recommendations to the ACPC for approval.

c. A sponsor is a Headquarters, Department of the Army (HQDA) or major Army command (MACOM) general officer or Senior Executive Service (SES)-level civilian under whose authority a particular analytical effort is formulated and administered. All provisional and approved Arroyo Center projects will have a sponsor. Sponsors will designate a point of contact to work with the Arroyo Center personnel and the executive agent to ensure complete and continuous project coordination. Each sponsor—

(1) Will appoint an action officer to be the point of contact and monitor for matters related to the conduct of the project.

(2) Will, in coordination with the Director of the Arroyo Center, ensure that the project proposal is prepared and submitted to the ACPC for approval.

(3) Will advise and assist the ACPC executive agent in all technical and administrative matters related to the effort.

(4) May be a member of the ACPC.

d. The Director of the Arroyo Center—

(1) Will provide written notification to the executive agent within 30 days after initiation of any provisional effort. This written notification will identify the sponsor and a point of contact and will provide a preliminary description of the project.

(2) Will appoint a project director for each provisional and approved project.

(3) Will maintain close and continuous coordination with each sponsor throughout the lifetime of the approved research effort.

(4) Will coordinate changes in the nature or scope of the provisional and approved projects with the sponsor.

5. The Arroyo Center

a. The Arroyo Center is the Department of the Army's (DA) federally funded research and development center (FFRDC) for studies and policy analyses. It is a division of the RAND Corporation dedicated to supporting the U.S. Army. RAND is an independent nonprofit organization devoted to research in the interest of national security and the welfare of the United States. RAND also conducts research of its own and under contract with other Government agencies. The Arroyo Center—

(1) Furnished the Army with information and finding derived from analyses of Army technical and policy issues. Its efforts are generally focused on mid-to far-term, policy-oriented issues and are designed to assist the Army in improving its efficiency and effectiveness.

(2) Maintains both a technical and nontechnical capability in a broad range of matters of concern to the Army. This includes the ability to address, through formal studies and analyses, a variety of problems potentially affecting Army missions and organizations, including threats, strategy, doctrine, operations, technology, manpower, and resource management.

b. Army policy for the Arroyo Center

(1) The Arroyo Center represents one of the Army's major investments for analysis of Army policy issues. To foster innovative and objective work, the Arroyo Center management has maximum freedom to propose new projects and to carry out the annual program approved by the ACPC.

(2) The Army encourages broad distribution of Arroyo Center results to achieve maximum benefit, to permit wide spread peer review, and to increase awareness of issues identified by the Army leadership as important.

(3) The Arroyo Center will undertake projects for which it has special competence or capabilities that do not exist in the Army in-house analytical organizations or that are inappropriate for in-house performance or by other contractor sources. General characteristics of work that is appropriate for assignment to the Arroyo Center include--

(a) Unique expertise. Tasks that require competence in specific fields, close working relationships with other Government agencies, or inter disciplinary policy analyses, where such capabilities exist at the Arroyo Center.

(b) Long-term analysis. Multi year analyses not available from commercial contractors.

(c) Proprietary and restricted information. Privileged access to proprietary data, competition-sensitive data, or restricted data that only an FFRDC such as the Arroyo Center can obtain.

(d) Objectivity. Advice on alternative programs and courses of action that a nonprofit analytical organization having no conflict of interest can appropriately provide.

(e) Special, quick response support. Capability to deliver, on short notice, results that the Arroyo Center derives from working continually on a wide variety of Army issues.

c. All Army work for the Arroyo Center will be ordered through a single contract between the Army and the RAND Corporation. Individual Army organizations will not execute their own separate contracts with the RAND Corporation for Arroyo Center studies and analyses.

d. The Arroyo Center is entitled to broad access to Army information not generally accorded to commercial contractors. Accordingly, the Army will provide the Arroyo Center with prompt and systematic access to pertinent documents, data, and briefings consistent with security provisions and need-to-know, to be used in analytical efforts. The Army will also ensure that the Arroyo Center maintains current knowledge of Army goals, objectives, and on going study efforts.

e. Arroyo Center projects normally will be performed by RAND staff. Approval for subcontracting on specific tasks will be granted by the executive agent. Consultants may be used to add depth of knowledge and expertise that is not otherwise available to the Arroyo Center.

6. Development of the annual program

a. The annual program is an evolving agenda. It specifies the matichrusts, ongoing projects, proposed projects, and potential projects. The annual program will be developed through a continuing process involving top Army leaders, Secretariat and Army Staff sponsors, and Arroyo Center management. The process will identify and clarify policy issues seen as critical by the Army leadership. It will be prepared annually by the Arroyo Center for ACPC approval.

b. Army activities as well as Arroyo Center management may recommend projects for inclusion in the Arroyo Center annual program.

c. During the preparation of proposed projects, Arroyo Center personnel, members of the requesting agency, and other interested individuals work together.

d. Projects will be categorized according to three stages of development as follows:

(1) *Exploratory.* Efforts in this stage have been selected by the Arroyo Center for preliminary analysis.

(2) *Provisional.* This stage contains more mature research activities. Efforts have been formulated as projects and have identified sponsors and objectives, but have not yet been submitted to the ACPC for review and approval.

(3) *Approved.* Efforts in this stage are mature projects that have been formally reviewed and approved by the ACPC.

e. Prior to submitting provisional projects to the ACPC for approval, the sponsor and the Arroyo Center management will develop mutually acceptable project descriptions that define the research to be done. This will include a description of the analytical techniques, supporting analyses, anticipated benefits and impacts, an estimate of the required level of effort (members of technical staff (MTS)), and research milestones against which progress will be measured. Project descriptions will be forwarded to the ACPC executive agent to include as agenda items during the next ACPC meeting.

f. The annual program will be presented to the pre-ACPC review for consideration and to the ACPC for review and approval (see para 4a (18)). Proposed changes in the program will be coordinated among the sponsors, the Arroyo Center management, and the ACPC executive agent. Substantive changes will be approved by the ACPC.

g. The Arroyo Center may devote up to 25 percent of its annual budget for exploratory and supporting analytical efforts. The executive agent may serve as the sponsor for these efforts if required.

h. An Army activity may, at any time, discuss policy issues and potential projects or seek information concerning completed or on going Arroyo Center projects.

i. Before the start of a fiscal year, to avoid duplication of study effort, an Arroyo Center representative will review the proposed research agenda for the upcoming fiscal year with appropriate Army Staff and Secretariat agencies to ensure that contractors or other FFRDCs are not researching the same study topics.

7. Dissemination of Arroyo Center reports

a. The Arroyo Center will provide Army sponsors with written reports of completed projects. Results may also be disseminated through publications and briefings.

b. A master distribution list will be maintained by the ACPC executive agent and the Arroyo Center for determining distribution of Arroyo Center reports within the DOD.

c. The Arroyo Center is encouraged to make presentations to military operations research symposia and to publish reports and articles in DOD official publications.

d. Unclassified reports that do not contain proprietary or sensitive information may be made available to commercial organizations and the general public subsequent to review per paragraph 4b (11).

e. Arroyo Center analysts are encouraged to write unclassified articles based on Army research for publication in professional journals. These articles will not contain classified, proprietary, or sensitive information and will be submitted for publication only after the Army has conducted an appropriate security review. Disclaimers will be used to indicate that the articles do not represent Army policy or viewpoints.

f. Once cleared by Department of the Army Public Affairs and if no distribution limitation is imposed by the research sponsor; all final copies of Arroyo Center publications will be sent to the Defense Technical Information Center.

g. Army organizations receiving Arroyo Center publications are encouraged to review them and send constructive comments to the executive agent at Manpower and Force Program, Analysis Division, Chief of Staff, 200 Army Pentagon, Washington, D.C. 20310-0200.

8. Arroyo Center Fellows Program

a. A research and study fellowship is established at the Arroyo Center. This program--

(1) Provides DA officers the opportunity to study and work on critical policy issues being addressed in the Arroyo Center annual program.

(2) Enhances the Arroyo Center's understanding of current Army policies and doctrine through the assignment of highly qualified DA officers to Arroyo Center projects.

(3) Promotes understanding of the Arroyo Center in the Army community.

(4) Provides career enhancing development of analytical and operations research skills and techniques.

b. Volunteer Army officers (grades 04 and 05) will be screened and selected annually by ACPC. The ACPC executive agent will coordinate the annual nomination and selection of Fellows for the ACPC.

c. Criteria for selection will be developed annually. The selection process will commence in November for the next fiscal year (FY) participants. Final selection will normally be made at the beginning of the third quarter of the FY.

d. The normal tour of duty at the Arroyo Center will be one year with a 3 year follow-on utilization tour on a senior-level Army or Joint staff.

e. The ACPC executive agent will coordinate the Fellows' administrative actions, Arroyo Center projects, and follow-on assignments to ensure maximum benefit to the Arroyo Center and the Army.

9. Other Army interaction with the Arroyo Center

a. During the project development phase of Arroyo Center efforts, RAND researchers will identify subject matter experts and points of contact within the Army. Informal meetings will be scheduled between Arroyo Center project personnel and these experts to exchange information and effect project coordination.

b. Army activities, so authorized by the sponsor, will provide the Arroyo Center with information (including classified material) required to complete provisional and approved projects. Army activities may release required classified, privileged, proprietary, or sensitive material directly to the Arroyo Center. Army organizational security managers will clear any classified material for release. Clearance for release of any industry, or other privately owned, privileged, or proprietary materials will be obtained from the source of the data. Army data released to the Arroyo Center as described herein must contain appropriate protective markings and non-disclosure warnings. Such data generally will not be released outside the Arroyo Center.

Appendix A References

Section I Required Publications

This section contains no entries.

Section II Related Publications

AR 5-5

Army Studies and Analysis

AR 5-14

Management of Contracted Advisory and Assistance Services

AR 380-5

Department of the Army Information Security Program

DA PAM 5-5

Guidance for Army Study Sponsors, Sponsor's Study Directors, Study Advisory Groups, and Contracting Officer Memorandum, Office of the Secretary of Defense, Director of Defense Research and Engineering, 14 August 1992, Subject: Implementation of the Federally Funded Research and Development Center Management Plan. (This publication may be obtained from the Deputy Director, Defense Research and Engineering, 3080 Defense Pentagon, Washington, DC 20301-3080.)

Section III Prescribed Forms

This section contains no entries.

Section IV Referenced Forms

This section contains no entries.

Glossary

Section I Abbreviations

DA

Department of the Army

DOD

Department of Defense

FY

fiscal year

HQDA

Headquarters, Department of the Army

MACOM

major Army command

SES

Senior Executive Service

TRADOC

U.S. Army Training and Doctrine Command

Section II Terms

Member of Technical Staff (MTS)

Direct professional labor, performed by researchers, mathematicians, programmers, analysts, economists, scientists, engineers, and others who perform professional-level technical work primarily in the fields of studies and analysis, systems engineering and integration, systems planning, program and policy planning and analysis, and basic and applied research.

Section III

Special Abbreviations and Terms

This publication uses the following abbreviations, brevity codes, and acronyms not contained in AR 310–50.

ACPC

Arroyo Center Policy Committee

FFRDC

federally funded research and development center

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This section contains no entries.

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